

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001				<i>Patent fees are subject to annual revision.</i>		<i>Small Entity payments must be supported by a small entity statement otherwise large entity fees must be paid. See Forms PTO/SB/09-12 See 37 C.F.R. § 1.27 and 1.28</i>		Complete if Known																																																																																																																																																																																																																																																					
TOTAL AMOUNT OF PAYMENT				(\$)		830.00		Application Number																																																																																																																																																																																																																																																					
METHOD OF PAYMENT (check one)				FEE CALCULATION (continued)				Filing Date																																																																																																																																																																																																																																																					
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number: 50-0444 Deposit Account Name: Riker, Danzig, Scherer, Hyland & Perretti LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. § 1.16 and 1.17								First Named Inventor: Thomas C. Naratil																																																																																																																																																																																																																																																					
2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other								Examiner Name																																																																																																																																																																																																																																																					
FEE CALCULATION								Group/Art Unit																																																																																																																																																																																																																																																					
1. BASIC FILING FEE <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>710</td> <td>201</td> <td>355</td> <td>Utility filing fee</td> <td>710.00</td> </tr> <tr> <td>106</td> <td>320</td> <td>206</td> <td>160</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>490</td> <td>207</td> <td>245</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>710</td> <td>208</td> <td>355</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="5">SUBTOTAL (1)</td> <td>(\$) 710.00</td> </tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	710	201	355	Utility filing fee	710.00	106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee		SUBTOTAL (1)					(\$) 710.00			Attorney Docket Number: 4034-20																																																																																																																																																																																																													
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																								
101	710	201	355	Utility filing fee	710.00																																																																																																																																																																																																																																																								
106	320	206	160	Design filing fee																																																																																																																																																																																																																																																									
107	490	207	245	Plant filing fee																																																																																																																																																																																																																																																									
108	710	208	355	Reissue filing fee																																																																																																																																																																																																																																																									
114	150	214	75	Provisional filing fee																																																																																																																																																																																																																																																									
SUBTOTAL (1)					(\$) 710.00																																																																																																																																																																																																																																																								
2. EXTRA CLAIM FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Independent Claims</th> <th>Multiple Dependent</th> <th>Extra Claims</th> <th>Fee From below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>17</td> <td>4</td> <td></td> <td>20*</td> <td>80.00</td> <td>00.00</td> </tr> <tr> <td></td> <td></td> <td></td> <td>3*</td> <td></td> <td>80.00</td> </tr> </tbody> </table> <p>* or number previously paid, if greater, For Reissues, see below</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>80</td> <td>202</td> <td>40</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>270</td> <td>204</td> <td>135</td> <td>Multiple dependent claim</td> <td></td> </tr> <tr> <td>109</td> <td>80</td> <td>209</td> <td>40</td> <td>*Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>*Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="5">SUBTOTAL (2)</td> <td>(\$) 80.00</td> </tr> </tbody> </table>				Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee From below	Fee Paid	17	4		20*	80.00	00.00				3*		80.00	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	80	202	40	Independent claims in excess of 3		104	270	204	135	Multiple dependent claim		109	80	209	40	*Reissue independent claims over original patent		110	18	210	9	*Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)					(\$) 80.00			3. ADDITIONAL FEES <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provision filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920**</td><td>112</td><td>920**</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840**</td><td>113</td><td>1,840**</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>40.00</td></tr> <tr><td>146</td><td>690</td><td>246</td><td>380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>690</td><td>249</td><td>380</td><td>For each additional invention to be examined (37 CFR 1.29(b))</td><td></td></tr> <tr><td colspan="5">Other fee (specify)</td><td></td></tr> <tr><td colspan="5">Other fee (specify)</td><td></td></tr> <tr> <td colspan="5">**Reduced by Basic Filing Fee Paid</td> <td>SUBTOTAL (3) (\$)</td> </tr> <tr> <td colspan="5"></td> <td>40.00</td> </tr> </tbody> </table>		Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provision filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920**	112	920**	Requesting publication of SIR prior to Examiner action		113	1,840**	113	1,840**	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,210	241	605	Petition to revive - unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional applications		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00	146	690	246	380	Filing a submission after final rejection (37 CFR 1.129(a))		149	690	249	380	For each additional invention to be examined (37 CFR 1.29(b))		Other fee (specify)						Other fee (specify)						**Reduced by Basic Filing Fee Paid					SUBTOTAL (3) (\$)						40.00
Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee From below	Fee Paid																																																																																																																																																																																																																																																								
17	4		20*	80.00	00.00																																																																																																																																																																																																																																																								
			3*		80.00																																																																																																																																																																																																																																																								
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																								
103	18	203	9	Claims in excess of 20																																																																																																																																																																																																																																																									
102	80	202	40	Independent claims in excess of 3																																																																																																																																																																																																																																																									
104	270	204	135	Multiple dependent claim																																																																																																																																																																																																																																																									
109	80	209	40	*Reissue independent claims over original patent																																																																																																																																																																																																																																																									
110	18	210	9	*Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																																																																									
SUBTOTAL (2)					(\$) 80.00																																																																																																																																																																																																																																																								
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																																								
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																																																																																									
127	50	227	25	Surcharge - late provision filing fee or cover sheet																																																																																																																																																																																																																																																									
139	130	139	130	Non-English specification																																																																																																																																																																																																																																																									
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																																																																																																									
112	920**	112	920**	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																																																																									
113	1,840**	113	1,840**	Requesting publication of SIR after Examiner action																																																																																																																																																																																																																																																									
115	110	215	55	Extension for reply within first month																																																																																																																																																																																																																																																									
116	380	216	190	Extension for reply within second month																																																																																																																																																																																																																																																									
117	870	217	435	Extension for reply within third month																																																																																																																																																																																																																																																									
118	1,360	218	680	Extension for reply within fourth month																																																																																																																																																																																																																																																									
128	1,850	228	925	Extension for reply within fifth month																																																																																																																																																																																																																																																									
119	300	219	150	Notice of Appeal																																																																																																																																																																																																																																																									
120	300	220	150	Filing a brief in support of an appeal																																																																																																																																																																																																																																																									
121	260	221	130	Request for oral hearing																																																																																																																																																																																																																																																									
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																																																																									
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																																																																																									
141	1,210	241	605	Petition to revive - unintentional																																																																																																																																																																																																																																																									
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																																																																																																									
143	430	243	215	Design issue fee																																																																																																																																																																																																																																																									
144	580	244	290	Plant issue fee																																																																																																																																																																																																																																																									
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																																																																									
123	50	123	50	Petitions related to provisional applications																																																																																																																																																																																																																																																									
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																									
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00																																																																																																																																																																																																																																																								
146	690	246	380	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																																																																									
149	690	249	380	For each additional invention to be examined (37 CFR 1.29(b))																																																																																																																																																																																																																																																									
Other fee (specify)																																																																																																																																																																																																																																																													
Other fee (specify)																																																																																																																																																																																																																																																													
**Reduced by Basic Filing Fee Paid					SUBTOTAL (3) (\$)																																																																																																																																																																																																																																																								
					40.00																																																																																																																																																																																																																																																								
SUBMITTED BY				Complete (if applicable)																																																																																																																																																																																																																																																									
Name (Print/Type)		Leslie Gladstone Restaino, Esq.		Registration No. (Attorney/Agent)		38,893		Telephone		973-538-0800																																																																																																																																																																																																																																																			
Signature		<i>Leslie Gladstone Restaino</i>						Date		10/16/2000																																																																																																																																																																																																																																																			

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Attorney Docket No.:
For:

Thomas C. Naratil
4034-20
**SYSTEM AND METHOD FOR TRADING
TAXABLE AND NON-TAXABLE SECURITIES**




Headquarters Plaza
One Speedwell Avenue
Morristown, N.J. 07962
October 16, 2000

Box Patent Application
Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

CERTIFICATION

I hereby certify that this paper, bearing Express Mailing Label No. EL478364962US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.



Muriel Fleming
(Mailer)